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|--|---------------------------|---|
| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>  |                           | ATTORNEY'S DOCKET NUMBER<br>S8810.0003/P003                   |
| INTERNATIONAL APPLICATION NO.  | INTERNATIONAL FILING DATE | U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br>10/588,283 |
| PRIORITY DATE CLAIMED  |                           |   |
| <b>TITLE OF INVENTION</b><br>METHOD OF MANUFACTURING THIN FILM, METHOD OF MANUFACTURING p-TYPE ZINC OXIDE THIN FILM<br>AND SEMICONDUCTOR DEVICE  |                           |   |
| <b>APPLICANT(S) FOR DO/EO/US</b><br>Masashi Kawasaki et al.  |                           |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |                           |   |
| 1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.<br>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.<br>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.<br>4. <input type="checkbox"/> The US has been elected (Article 31).<br>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ul> 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ul> 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ul> 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).<br>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).<br>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).<br><b>Items 11 to 20 below concern document(s) or information included:</b><br>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.<br>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.<br>13. <input type="checkbox"/> A preliminary amendment.<br>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.<br>15. <input type="checkbox"/> A substitute specification.<br>16. <input type="checkbox"/> A power of attorney and/or change of address letter.<br>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825.<br>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).<br>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). |                           |   |

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|---|-------------------------------|---|--|---|--------------|--------------|---|---|---------|--------------------|--|---|----------|---|---|---|----|----|--------------------------|--|---------|--|---|--|----|--|--------------|--------------|---|------|---------|-------|--|------------|--|--|-----------|--|---|--|--------|--------------|--------------|------|--------------|--------|---|---------|--------------------|-------|---|----------|---|--|---|--|----|--|-------------------------------|--|----|--|---|--|-------|--|------------|--|----------|--|---|--|----|--|----------------------|--|----------|--|--|--|----------|--|-----------------------|--|-----------|--|--|--|------------------------|----|--|--|----------------------|----|
| 20. <input checked="" type="checkbox"/> Other items or information: Return Receipt Postcard   |                               |   |  |   |              |              |   |   |         |                    |  |   |          |   |   |   |    |    |                          |  |         |  |   |  |    |  |              |              |   |      |         |       |  |            |  |  |           |  |   |  |        |              |              |      |              |        |   |         |                    |       |   |          |   |  |   |  |    |  |                               |  |    |  |   |  |       |  |            |  |          |  |   |  |    |  |                      |  |          |  |  |  |          |  |                       |  |           |  |  |  |                        |    |  |  |                      |    |
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The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property</td> <td>\$ 40.00</td> <td></td> </tr> <tr> <td colspan="2">TOTAL FEES ENCLOSED =</td> <td>\$ 105.00</td> <td></td> </tr> <tr> <td colspan="2"></td> <td>Amount to be refunded:</td> <td>\$</td> </tr> <tr> <td colspan="2"></td> <td>Amount to be charged</td> <td>\$</td> </tr> </table> |                               |   | The following fees have been submitted |   | CALCULATIONS | PTO USEONLY  | 21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a)) ..... \$300 |   | \$      |                    | 22. <input type="checkbox"/> Examination fee (37 CFR 1.492(c))<br>If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0<br>All other situations ..... \$200 |   | \$       |   | 23. <input type="checkbox"/> Search fee (37 CFR 1.492(b))<br>If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority ..... \$100<br>International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$400<br>All other situations ..... \$500 |   | \$ |    | TOTAL OF 21, 22 and 23 = |  | \$ 0.00 |  | <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof. |  | \$ |  | Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | - 100 = | /50 = |  | x \$250.00 | Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)). |  | \$ 130.00 |  | <table border="1"> <tr> <th>CLAIMS</th> <th>NUMBER FILED</th> <th>NUMBER EXTRA</th> <th>RATE</th> </tr> <tr> <td>Total claims</td> <td>- 20 =</td> <td>0</td> <td>x 50.00</td> </tr> <tr> <td>Independent claims</td> <td>- 3 =</td> <td>0</td> <td>x 200.00</td> </tr> <tr> <td colspan="2">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+</td> <td></td> </tr> </table> |  | CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | Total claims | - 20 = | 0 | x 50.00 | Independent claims | - 3 = | 0 | x 200.00 | MULTIPLE DEPENDENT CLAIM(S) (if applicable) |  | + |  | \$ |  | TOTAL OF ABOVE CALCULATIONS = |  | \$ |  | <input checked="" type="checkbox"/> Applicant claims small entity status. 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| TOTAL OF ABOVE CALCULATIONS =   |                               | \$  |  |   |              |              |   |   |         |                    |  |   |          |   |   |   |    |    |                          |  |         |  |   |  |    |  |              |              |   |      |         |       |  |            |  |  |           |  |   |  |        |              |              |      |              |        |   |         |                    |       |   |          |   |  |   |  |    |  |                               |  |    |  |   |  |       |  |            |  |          |  |   |  |    |  |                      |  |          |  |  |  |          |  |                       |  |           |  |  |  |                        |    |  |  |                      |    |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½.   |                               | 65.00                                       |  |   |              |              |   |   |         |                    |  |   |          |   |   |   |    |    |                          |  |         |  |   |  |    |  |              |              |   |      |         |       |  |            |  |  |           |  |   |  |        |              |              |      |              |        |   |         |                    |       |   |          |   |  |   |  |    |  |                               |  |    |  |   |  |       |  |            |  |          |  |   |  |    |  |                      |  |          |  |  |  |          |  |                       |  |           |  |  |  |                        |    |  |  |                      |    |
| SUBTOTAL =  |                               | \$ 65.00                                    |  |   |              |              |   |   |         |                    |  |   |          |   |   |   |    |    |                          |  |         |  |   |  |    |  |              |              |   |      |         |       |  |            |  |  |           |  |   |  |        |              |              |      |              |        |   |         |                    |       |   |          |   |  |   |  |    |  |                               |  |    |  |   |  |       |  |            |  |          |  |   |  |    |  |                      |  |          |  |  |  |          |  |                       |  |           |  |  |  |                        |    |  |  |                      |    |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).   |                               | \$  |  |   |              |              |   |   |         |                    |  |   |          |   |   |   |    |    |                          |  |         |  |   |  |    |  |              |              |   |      |         |       |  |            |  |  |           |  |   |  |        |              |              |      |              |        |   |         |                    |       |   |          |   |  |   |  |    |  |                               |  |    |  |   |  |       |  |            |  |          |  |   |  |    |  |                      |  |          |  |  |  |          |  |                       |  |           |  |  |  |                        |    |  |  |                      |    |
| TOTAL NATIONAL FEE =  |                               | \$ 65.00                                    |  |   |              |              |   |   |         |                    |  |   |          |   |   |   |    |    |                          |  |         |  |   |  |    |  |              |              |   |      |         |       |  |            |  |  |           |  |   |  |        |              |              |      |              |        |   |         |                    |       |   |          |   |  |   |  |    |  |                               |  |    |  |   |  |       |  |            |  |          |  |   |  |    |  |                      |  |          |  |  |  |          |  |                       |  |           |  |  |  |                        |    |  |  |                      |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |                               | \$ 40.00                                    |  |   |              |              |   |   |         |                    |  |   |          |   |   |   |    |    |                          |  |         |  |   |  |    |  |              |              |   |      |         |       |  |            |  |  |           |  |   |  |        |              |              |      |              |        |   |         |                    |       |   |          |   |  |   |  |    |  |                               |  |    |  |   |  |       |  |            |  |          |  |   |  |    |  |                      |  |          |  |  |  |          |  |                       |  |           |  |  |  |                        |    |  |  |                      |    |
| TOTAL FEES ENCLOSED =   |                               | \$ 105.00                                   |  |   |              |              |   |   |         |                    |  |   |          |   |   |   |    |    |                          |  |         |  |   |  |    |  |              |              |   |      |         |       |  |            |  |  |           |  |   |  |        |              |              |      |              |        |   |         |                    |       |   |          |   |  |   |  |    |  |                               |  |    |  |   |  |       |  |            |  |          |  |   |  |    |  |                      |  |          |  |  |  |          |  |                       |  |           |  |  |  |                        |    |  |  |                      |    |
|   |                               | Amount to be refunded:                      | \$                                     |   |              |              |   |   |         |                    |  |   |          |   |   |   |    |    |                          |  |         |  |   |  |    |  |              |              |   |      |         |       |  |            |  |  |           |  |   |  |        |              |              |      |              |        |   |         |                    |       |   |          |   |  |   |  |    |  |                               |  |    |  |   |  |       |  |            |  |          |  |   |  |    |  |                      |  |          |  |  |  |          |  |                       |  |           |  |  |  |                        |    |  |  |                      |    |
|   |                               | Amount to be charged                        | \$                                     |   |              |              |   |   |         |                    |  |   |          |   |   |   |    |    |                          |  |         |  |   |  |    |  |              |              |   |      |         |       |  |            |  |  |           |  |   |  |        |              |              |      |              |        |   |         |                    |       |   |          |   |  |   |  |    |  |                               |  |    |  |   |  |       |  |            |  |          |  |   |  |    |  |                      |  |          |  |  |  |          |  |                       |  |           |  |  |  |                        |    |  |  |                      |    |

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

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**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.**

SEND ALL CORRESPONDENCE TO:

Thomas J. D'Amico  
DICKSTEIN SHAPIRO LLP  
1825 Eye Street, NW  
Washington, DC 20006-5403  
(202) 420-2232

  
SIGNATURE

Thomas J. D'Amico

NAME

CUSTOMER NUMBER: 24998

28,371

REGISTRATION NUMBER



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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 Alexandria, Virginia 22313-1450  
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|   |                       |                                     |
|---|-----------------------|-------------------------------------|
| U.S. APPLICATION NUMBER NO.   | FIRST NAMED APPLICANT | ATTY. DOCKET NO.                    |
| 10/588,283  | Masashi Kawasaki      | S8810.0003/P003                     |
| 24998<br>DICKSTEIN SHAPIRO LLP<br>1825 EYE STREET NW<br>Washington, DC 20006-5403 |                       | INTERNATIONAL APPLICATION NO.       |
|   |                       | PCT/JP04/13246                      |
|   |                       | I.A. FILING DATE      PRIORITY DATE |
|   |                       | 09/10/2004      02/06/2004          |
| RECEIVED<br>MAR 1 2007<br>TJD/DB<br>P 3/8/07                                      |                       |                                     |
| CONFIRMATION NO. 5019<br>371 FORMALITIES LETTER                                   |                       |                                     |
| <br>*OC000000022649783*   |                       |                                     |

Date Mailed: 02/27/2007

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 08/04/2006
- English Translation of the IA filed on 08/04/2006
- Copy of the International Search Report filed on 08/04/2006
- Preliminary Amendments filed on 08/04/2006
- Information Disclosure Statements filed on 12/07/2006
- Small Entity Statement filed on 12/07/2006
- U.S. Basic National Fees filed on 08/04/2006
- Priority Documents filed on 08/04/2006
- Specification filed on 08/04/2006
- Claims filed on 08/04/2006
- Abstracts filed on 08/04/2006
- Drawings filed on 08/04/2006

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The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is **\$130** for a Large Entity:

- **\$130 Surcharge.**

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

Registered users of EFS-Web may alternatively submit their reply to this notice via EFS-Web.

<https://sportal.uspto.gov/authenticate/AuthenticateUserLocalEPF.html>

For more information about EFS-Web please call the USPTO Electronic Business Center at **1-866-217-9197** or visit our website at <http://www.uspto.gov/ebc>.

**If you are not using EFS-Web to submit your reply, you must include a copy of this notice.**

WINSTON M ALVARADO

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Telephone: (703) 308-9140 EXT 206

**PART 1 - ATTORNEY/APPLICANT COPY**

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| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/588,283                  | PCT/JP04/13246                | S8810.0003/P003  |

FORM PCT/DO/EO/905 (371 Formalities Notice)

Docket No.:S8810.0003/P003  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Masashi Kawasaki et al.

Confirmation No.: N/A

Application No.: 10/588,283

Group Art Unit: N/A

Filed: August 4, 2006

Examiner: Not Yet Assigned

For: **METHOD OF MANUFACTURING THIN  
FILM, METHOD OF MANUFACTURING p-  
TYPE ZINC OXIDE THIN FILM AND  
SEMICONDUCTOR DEVICE**

**STATEMENT UNDER 37 C.F.R. § 1.497(d)(1) BY TOMOTERU FUKUMURA**

**Box Non-Fee Amendment**  
Commissioner for Patents  
Washington, DC 20231

I, Tomoteru Fukumura, hereby state that there was a misspelling of my first name in PCT International Application PCT/JP2004/013246 and that this misspelling occurred without deceptive intention. The correct spelling of my name is in the heading of this paper and below.

Further, I hereby declare that this statement was made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Dated:

By Tomoteru Fukumura  
Tomoteru Fukumura

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re Patent Application of:  
Masashi Kawasaki et al.

Application No.: 10/588,283

Confirmation No. N/A

Filed: August 4, 2006

Art Unit: Not Yet Assigned

For: METHOD OF MANUFACTURING THIN  
FILM, METHOD OF MANUFACTURING p-  
TYPE ZINC OXIDE THIN FILM AND  
SEMICONDUCTOR DEVICE

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Examiner: Not Yet Assigned

**SECOND NOTICE OF ENTITLEMENT TO SMALL ENTITY STATUS**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

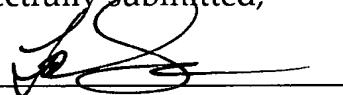
On December 7, 2006, the undersigned filed a Notice of Entitlement to Small Entity Status for the assignee of this application, Tohoku University.

The Applicants received a Notification of Missing Requirements dated February 27, 2007 wherein the undersigned is being charged for large entity status. A copy of the Notification of Entitlement to Small Entity Status filed on December 7, 2006 is enclosed along with the PTO-stamped postcard receipt.

It is requested that all pertinent U.S. Patent and Trademark Office records relating to the subject application be updated to reflect this correction.

Dated: April 25, 2007

Respectfully submitted,

By   
Thomas J. D'Amico

Registration No.: 28,371

David T. Beck

Registration No.: 54,985

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